

#12  
Rec'd PCT/PTO 13 SEP 2001

Patent  
Attorney's Docket No. 003300-723

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of	)	
	)	
Lars A. HANSON <i>et al.</i>	)	Group Art Unit: Unassigned
	)	
Serial No.: 09/743,107	)	Examiner: Unassigned
	)	
Filed: January 5, 2001	)	<b>ATTENTION: BOX SEQUENCE</b>
	)	
For: PEPTIDES BASED ON THE	)	
SEQUENCE OF HUMAN	)	
LACTOFERRIN AND THEIR USE	)	

**DECLARATION PURSUANT TO**  
**37 C.F.R. §§ 1.821-1.825**

Assistant Commissioner for Patents  
Washington, D.C. 20231

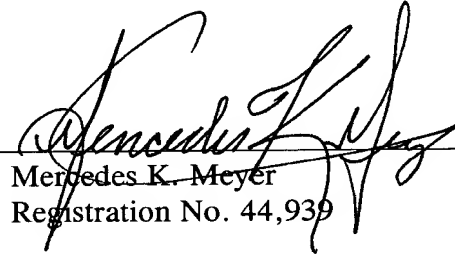
Sir:

I, Mercedes K. Meyer, declare as follows:

1. That the content of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 C.F.R. § 1.821(c) and (e), respectively, are the same in compliance with § 1.821(f).
2. That the submission, filed in accordance with 37 C.F.R. § 1.821(h), herein is not believed to include any prohibited new matter or go beyond the disclosure in the international application.

I hereby declare that all statements made herein of my own knowledge are true and that all statements were made on information and belief and are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

September 13, 2001  
Date

  
Mercedes K. Meyer  
Registration No. 44,939



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/743107	HANSON	L 003300-723
INTERNATIONAL APPLICATION NO.		
PCT/SE99/01230		
I.A. FILING DATE	PRIORITY DATE	
06 JUL 99	06 JUL 98	
DATE MAILED: 13 AUG 2001		

BENTON S DUFFETT  
BURNS DOANE SWECKER & MATHIS  
PO BOX 1404  
ALEXANDRIA, VA 22313 1404**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES**

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☒ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☐ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☒ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: \_\_\_\_\_

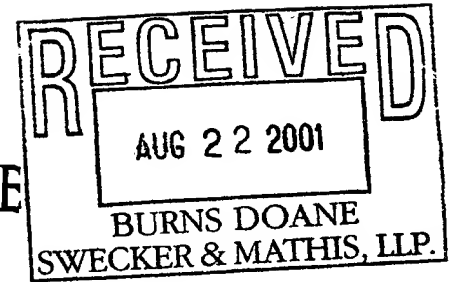
**APPLICANT MUST PROVIDE:**

- ☒ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☐ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☒ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE  
CALL:**

(703) 308-4216, for Rules interpretation,  
(703) 308-4212, for CRF submission help,  
(703) 287-0200, for PatentIn software help.

Barbara A. Campbell  
Telephone: 703-305-3631



PCT OPERATIONS

FACSIMILE TRANSMISSION COVER SHEET

DATE: August 22, 2001

TO: Mercedes Myer

TELEPHONE: 703 838-6561  
FAX NO.: 703 836-2021

FROM: Barbara Campbell

TELEPHONE: 703 305-3631  
FAX NO.: 703-308-4785 OR 703-305-3230

MESSAGE: Low Sequence Listing Error  
Report missing from Office Action  
mailed on 8/13/01 Serial NO. 09/743,107

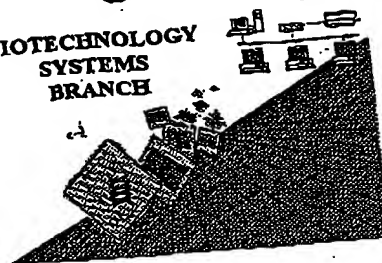
NUMBER OF PAGES 6 (INCLUDING THIS PAGE)

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## RAW SEQUENCE LISTING ERROR REPORT

BIOTECHNOLOGY  
SYSTEMS  
BRANCH



CB

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 09/743,107

Source: Per

Date Processed by STIC: 7/5/2001

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.  
PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT.
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT,

FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.  
PATENTIN 2.1 e-mail help: [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or phone 703-306-4119 (R. Wax)

PATENTIN 3.0 e-mail help: [patin3help@uspto.gov](mailto:patin3help@uspto.gov) or phone 703-306-4119 (R. Wax)

TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER  
VERSION 3.0 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND  
TRADEMARK OFFICE WEBSITE. SEE BELOW:

### Checker Version 3.0

The Checker Version 3.0 application is a state-of-the-art Windows based software program employing a logical and intuitive user-interface to check whether a sequence listing is in compliance with format and content rules. Checker Version 3.0 works for sequence listings generated for the original version of 37 CFR §§1.821 - 1.825 effective October 1, 1990 (old rules) and the revised version (new rules) effective July 1, 1998 as well as World Intellectual Property Organization (WIPO) Standard ST.25.

Checker Version 3.0 replaces the previous DOS-based version of Checker, and is Y2K-compliant. Checker allows public users to check sequence listings in Computer Readable form (CRF) before submitting them to the United States Patent and Trademark Office (USPTO). Use of Checker prior to filing the sequence listing is expected to result in fewer errored sequence listings, thus saving time and money.

Checker Version 3.0 can be down loaded from the USPTO website at the following address:  
<http://www.uspto.gov/web/offices/pac/checker>

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PCT

## RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/743,107

DATE: 07/05/2001

TIME: 15:52:03

Input Set : A:\003300-723.ST25.txt

Output Set: N:\CRF3\07032001\I743107.raw

Does Not Comply  
Corrected Diskette Needed

4 <110> APPLICANT: Hanson, Lars A.  
5 Baltzer, Lars  
6 Mattsby-Baltzer, Inger  
7 Dolphin, Gunnar T.  
9 <120> TITLE OF INVENTION: Peptides Based on the Sequence of Human Lactoferrin  
and Their Use  
12 <130> FILE REFERENCE: 003300-723  
14 <140> CURRENT APPLICATION NUMBER: US 09/743,107  
15 <141> CURRENT FILING DATE: 2001-06-05  
17 <150> PRIOR APPLICATION NUMBER: PCT/SE99/01230  
18 <151> PRIOR FILING DATE: 2000-09-29  
20 <150> PRIOR APPLICATION NUMBER: SE 9802441-7  
21 <151> PRIOR FILING DATE: 1998-07-06  
23 <150> PRIOR APPLICATION NUMBER: SE 9802562-0  
24 <151> PRIOR FILING DATE: 1998-07-17  
26 <150> PRIOR APPLICATION NUMBER: SE 9804614-7  
27 <151> PRIOR FILING DATE: 1998-12-29  
29 <160> NUMBER OF SEQ ID NOS: 101 (next page)  
31 <170> SOFTWARE: PatentIn version 2.1

IGNORED SEQUENCES

Use of n and/or Xaa has been detected in the Sequence Listing.  
Review the Sequence Listing to insure a corresponding  
explanation is presented in the <220> to <223> fields of  
each sequence using n or Xaa.

F.Y.I.

e://C:\CRF3\Outhold\Vsrl743107.htm

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2

&lt;210&gt; 100

&lt;211&gt; 29

&lt;212&gt; PRT

&lt;213&gt; Artificial Sequence

*last sequence in file*

&lt;220&gt;

<223> Description of Artificial Sequence: a fragment of  
human lactoferrin consisting of the amino acids in  
positions 12-40

&lt;400&gt; 100

Val Ser Gln Pro Glu Ala Thr Lys Cys Phe Gln Trp Gln Arg Asn Met  
1 5 10 15Arg Lys Val Arg Gly Pro Pro Val Ser Cys Ile Lys Arg  
20 25*see next page for more*

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07/743/07 3

<210> 60  
<211> 14  
<212> PRT  
<213> Artificial Sequence

<220>

<223> Description of Artificial Sequence: of natural or artificial origin, corresp. to a modification of the seq. consisting of aa 18-31 in human

lactoferrin; lactams formed between aa 3 and 7, and 9 and 13

Mod rx - per 1.823 of  
Sequence Rule, the  
maximum number of  
links in <223> response  
is 4.

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08/22/01 13:17 FAX 703 305 3230

USPTO/PCT OPEP

0006

VERIFICATION SUMMARY

PATENT APPLICATION: US/09/743,107

DATE: 07/05/2001

TIME: 15:52:04

Input Set : A:\003300-723.ST25.txt

Output Set: N:\CRF3\07032001\I743107.raw

:15 M:271 C: Current Filing Date differs, Replaced Current Filing Date  
:86 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:1  
:89 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:1  
:903 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:43  
:1240 M:259 W: Allowed number of lines exceeded, <223> Other Information:  
:1268 M:259 W: Allowed number of lines exceeded, <223> Other Information:  
:1772 M:258 W: Mandatory Feature missing, <221> not found for SEQ ID#:87  
:1772 M:258 W: Mandatory Feature missing, <222> not found for SEQ ID#:87  
:1772 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:87  
:1792 M:258 W: Mandatory Feature missing, <221> not found for SEQ ID#:88  
:1792 M:258 W: Mandatory Feature missing, <222> not found for SEQ ID#:88  
:1792 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:88  
:1812 M:258 W: Mandatory Feature missing, <221> not found for SEQ ID#:89  
:1812 M:258 W: Mandatory Feature missing, <222> not found for SEQ ID#:89  
:1812 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:89  
:1832 M:258 W: Mandatory Feature missing, <221> not found for SEQ ID#:90  
:1832 M:258 W: Mandatory Feature missing, <222> not found for SEQ ID#:90  
:1832 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:90  
:2003 M:283 W: Missing Blank Line separator, <220> field identifier  
:2039 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:99  
:29 M:203 E: No. of Seq. differs, <160> Number Of Sequences:Input (101) Counted (100)

C:\CRF3\Outhold\Vsr\I743107.htm

7/5/01

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